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PATENT

Attorney's Docket No: 28967/35265A

Applicants: Ferrell et al.

Serial No: 09/375,248

Filed: August 16, 1999

For: Screening and Therapy for Lymphatic Disorders Involving the Flt4 Receptor Tyrosine Kinase (VEGFR-3)

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(b)) -- INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 C.F.R. 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled Screening and Therapy for Lymphatic Disorders Involving the Flt4 Receptor Tyrosine Kinase (VEGFR-3), described in

- ☐ The specification filed herewith.
- ☒ Application Serial No. 09/375,248, filed August 16, 1999.
- ☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or may be under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization
- ☒ Persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

FULL NAME: Helsinki University Licensing Ltd. Oy  
ADDRESS: Viikinkaari 6, 00710 Helsinki, Finland

- ☐ INDIVIDUAL
- ☒ SMALL BUSINESS CONCERN
- ☐ NONPROFIT ORGANIZATION

FULL NAME: Ludwig Institute for Cancer Research  
ADDRESS: 605 Third Avenue, New York, New York 10158

☐ INDIVIDUAL      ☐ SMALL BUSINESS CONCERN      ☒ NONPROFIT ORGANIZATION

FULL NAME: University of Pittsburgh of the Commonwealth System of Higher Education

ADDRESS: 4200 Fifth Avenue, Pittsburgh, Pennsylvania 15260

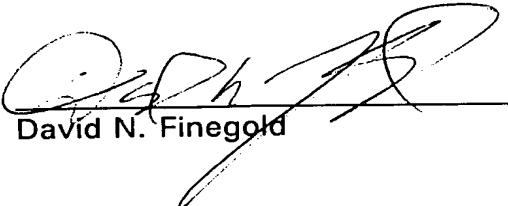
☐ INDIVIDUAL      ☐ SMALL BUSINESS CONCERN      ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

  
\_\_\_\_\_  
Robert E. Ferrell

Date: 9/16/99

  
\_\_\_\_\_  
David N. Finegold

Date: 9/16/99



Attorney's Docket No: 28967/3521A

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Applicants: Ferrell et al.

Serial No: 09/375,248

Filed: August 16, 1999

For: Screening and Therapy for Lymphatic Disorders Involving the Flt4 Receptor Tyrosine Kinase (VEGFR-3)

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(b)) -- INDEPENDENT INVENTOR**

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- ☐ The specification filed herewith.
- ☒ Application Serial No. 09/375,248, filed August 16, 1999.
- ☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or may be under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization
- ☒ Persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

FULL NAME: Helsinki University Licensing Ltd. Oy  
ADDRESS: Viikinkaari 6, 00710 Helsinki, Finland

- ☐ INDIVIDUAL
- ☒ SMALL BUSINESS CONCERN
- ☐ NONPROFIT ORGANIZATION

FULL NAME: Ludwig Institute for Cancer Research

ADDRESS: 605 Third Avenue, New York, New York 10158

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☒ NONPROFIT ORGANIZATION

FULL NAME: University of Pittsburgh of the Commonwealth System of Higher Education

ADDRESS: 4200 Fifth Avenue, Pittsburgh, Pennsylvania 15260

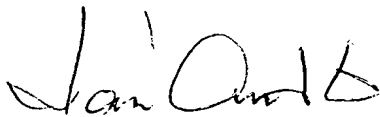
☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

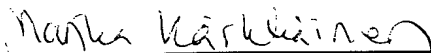
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.



Kari Alitalo

Date:

9.9.99



Marika Karkkainen

Date:

6.9.99

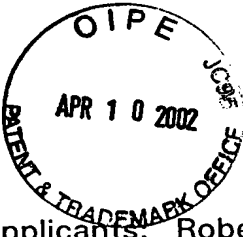
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APR 15 2002

TECH CENTER 1600/2900

PATENT

Attorney's Docket No: 28967/35255A



Applicants: Robert E. Ferrell et al.

Serial No: 09/375,248

Filed: August 16, 1999

For: Screening and Therapy for Lymphatic Disorders Involving the Flt4 Receptor Tyrosine Kinase (VEGFR-3)

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(c)) -- SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ The owner of the small business concern identified below:
- ☒ An official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN Helsinki University Licensing Ltd. Oy

ADDRESS OF BUSINESS Viikinkaari 6, 00710 Helsinki, Finland

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to, and remain with, the small business concern identified above with regard to the invention, entitled Screening and Therapy for Lymphatic Disorders Involving the Flt4 Receptor Tyrosine Kinase (VEGFR-3), by inventors Robert E. Ferrell, Kari Alitalo, David N. Finegold, and Marika Karkkainen, described in

- ☐ The specification filed herewith.
- ☒ Application Serial No. 09/375,248, filed August 16, 1999.
- ☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual (other than the inventors), concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventors, who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: *Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).*

NAME: Ludwig Institute for Cancer Research  
ADDRESS: 605 Third Avenue, 33rd Floor, New York, NY 10158  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

FULL NAME: University of Pittsburgh of the Commonwealth System of  
Higher Education  
ADDRESS: 4200 Fifth Avenue, Pittsburgh, Pennsylvania 15260  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: EJJA POITARIKIN  
TITLE OF PERSON OTHER THAN OWNER: MANAGING DIRECTOR  
ADDRESS OF PERSON SIGNING: Viikinkaari 6, 00710 Helsinki,  
Finland

SIGNATURE: [Signature] Date 3 September 1995

**PATENT**

Attorney's Docket No: 28967/35255A

Applicants: Robert E. Ferrell et al.

Serial No: 09/375,248

Filed: August 16, 1999

For: Screening and Therapy for Lymphatic Disorders Involving the Flt4  
Receptor Tyrosine Kinase (VEGFR-3)

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(d)) -- NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit  
organization identified below:

NAME OF ORGANIZATION: Ludwig Institute for Cancer Research

ADDRESS OF ORGANIZATION: 605 Third Avenue, 33rd Floor  
New York, New York 10158  
United States of America

**TYPE OF ORGANIZATION**

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC  
501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF  
STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE  
SERVICE CODE (26 USC 501 (a) and 501 (c)(3)) IF LOCATED IN THE  
UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL  
UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(NAME OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled Screening and Therapy for Lymphatic Disorders Involving the Flt4 Receptor Tyrosine Kinase (VEGFR-3), by inventors Robert E. Ferrell, Kari Alitalo, David N. Finegold, and Marika Karkkainen, described in

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- ☒ Application Serial No. 09/375,248 , filed August 16, 1999.
- ☐ Patent No. \_\_\_\_\_ , issued \_\_\_\_\_.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below, and must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME: Helsinki University Licensing Ltd. Oy

ADDRESS: Viikinkaari 6, 00710 Helsinki, FINLAND

☐ INDIVIDUAL      ☒ SMALL BUSINESS CONCERN      ☐ NONPROFIT ORGANIZATION

FULL NAME: University of Pittsburgh of the Commonwealth System of  
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.



NAME OF PERSON SIGNING:

Edward A. McDermott, Jr.

TITLE IN ORGANIZATION:

President

ADDRESS OF PERSON SIGNING:

605 Third Avenue, 33rd Floor  
New York, New York 10158  
United States of America

SIGNATURE:

Edward A. McDermott, Jr.

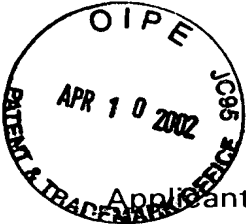
Date: Sept. 7, 1999

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PATENT

Attorney's Docket No: 28967/38555



Applicants: Robert E. Ferrell et al.

Serial No: 09/375,248

Filed: August 16, 1999

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NAME OF ORGANIZATION: University of Pittsburgh of the Commonwealth System of Higher Education

ADDRESS OF ORGANIZATION: 4200 Fifth Avenue  
Pittsburgh, Pennsylvania 15260  
United States of America

**TYPE OF ORGANIZATION**

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- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501 (a) and 501 (c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(NAME OF STATUTE \_\_\_\_\_)

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FULL NAME: Ludwig Institute for Cancer Research

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NAME OF PERSON SIGNING:

Jerome Cochran

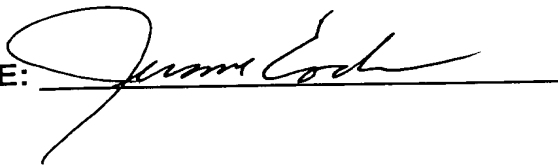
TITLE IN ORGANIZATION:

Executive Vice Chancellor

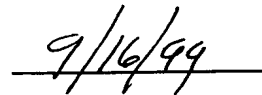
ADDRESS OF PERSON SIGNING:

4200 Fifth Avenue  
Pittsburgh, Pennsylvania 15260  
United States of America

SIGNATURE:

A handwritten signature in cursive script, appearing to read "Jerome Cochran", is written over a horizontal line.

DATE:

A handwritten date "9/16/99" is written over a horizontal line.